

**U.S AND PUBLISHER LIAISON DIVISION**  
**ACQUISITIONS AND BIBLIOGRAPHIC ACCESS DIRECTORATE**  
**ANNUAL REPORT**  
**FISCAL YEAR 2011**

October 19<sup>th</sup>, 2011

To the Librarian of Congress:

I am pleased to submit the Annual Report of the U.S. and Publisher Liaison Division for the period October 1, 2010 to September 30, 2011.

Sincerely,

Karl E. Debus-López, Acting Chief  
U.S. and Publisher Liaison Division

## **U.S. AND PUBLISHER LIAISON DIVISION: FY11 ANNUAL REPORT** **October 1<sup>st</sup>, 2010-September 30<sup>th</sup>, 2011**

Prepared by Karl E. Debus-López, Chief  
With input from the USPL Division Management Team  
October 19<sup>th</sup>, 2011

### **Division-wide Significant Trends and Improved Processes**

Note: USGEN and USPL Copyright and CIP production and work on hand is combined to address trends as the two divisions were administratively aligned in FY11 and share the same mission.

#### Production

USPL and USGEN staff produced about 43% (105,158) of the cataloging completions in ABA even though the staff only represents about 30% of the overall workforce in ABA. In FY11, the USPL Division ranked first in cataloging completions, while the USGEN Division ranked third amongst the ABA Divisions. USPL ranked first and USGEN ranked second within the Directorate for original cataloging completions. USPL and USGEN had five of the top ten sections within ABA for cataloging completions: Law (1<sup>st</sup>); Science, Technology, and Medicine (2<sup>nd</sup>); Literature (4<sup>th</sup>); Social Sciences (6<sup>th</sup>); and, Art and Religion (9<sup>th</sup>).

Despite the high production of the two divisions, overall cataloging production dropped by 6% from FY10. This is principally due to: 1) the continued loss of staff with specialized subject knowledge due to retirements, resignations, transfers, and deaths without the ability to hire new staff; 2) a slight reduction in CIP receipts compared to FY10; and, 3) the repurposing of staff to focus on learning new activities that in the long-term will streamline operations; however, in the short-term impacts productivity. These new activities include use of the ONIX/MARC converter program and training on RDA.

USPL and USGEN received fewer items in FY11 from the Copyright Office and the CIP Program than in FY10. CIP Priority 1 and Priority 2 receipts, while still very high at 101,942 books, decreased by 10% from the banner year of FY10. It is important to note that the CIP automatic claiming program was released in FY10 resulting in a surge of receipts of older un-received CIP books that year. By FY11, the claiming program had become routinized with smaller numbers of books received through the program on a monthly basis. Receipts from the Copyright Office were almost comparable to FY10. They were down slightly by 1%.

#### Work on Hand

The extended use of overtime, comp time, and SWAT projects during FY11 allowed the USGEN and USPL divisions to reduce its total monographic work on hand during the year. At the end of September 2011 there were 72,085 books and ECIPs in the USGEN and USPL divisions, compared to 82,592 at the end of September 2010. While the quantity is still large, this

represents a reduction of 13%. A procedural change that assisted in reducing the backlog was the decision to allow technician staff to pull books from the CIP Support backlog to perform CIP verification. It is anticipated that with the new CIP Support contract for FY12 there will be further reductions at least within the CIP and Copyright Support areas. However, with the anticipated retirements, the backlog may move from the CIP/Copyright support areas to the sections within USGEN and USPL. In fact, in FY11 the number of books in the sectional backlogs increased by 9%. This number is likely to increase in FY12. USGEN and USPL continued to catalog more items during the year than what remained in their backlogs. The cataloging to work on hand ratio for FY11 increased to 1.46, an increase of 8% from FY10.

In FY11 the USGEN Division saw a 14% decrease in the number of serial issues and volumes checked in by the two USGEN serials sections. This decrease is due to the unusual high production of FY10 when the Librarian mandated a serials “surge” project through which over 50,000 serial issues and volumes were checked in by the USGEN serials staff in the course of two months. FY11 saw a return to a more normal flow of serials received from the Copyright Office as can be seen by the significant decrease in the work on hand in the two serials sections at the end of the fiscal year by 71% from 25,300 items in October of 2010 to 7,400 items in September of 2011.

At the end of September 2011 there were 20% more ECIPs in the USGEN and USPL backlogs than in FY10. This is very troubling as ECIPs are considered Priority 1 items that per LCR 411-1, *Priorities in Cataloging Within Cataloging Levels*, should be processed before any other materials (with the exception of rush requests from Congress or other high officials from other federal agencies) by ABA. Even more troubling is that the throughput time for processing ECIPs was 20.2 days, about three times slower than last year’s throughput of 6.6 days. A little over 48% of all ECIPs were processed within 14 days in FY11, compared to 88% processed within 14 days in FY10. Unfortunately, these numbers are the worst recorded for the CIP Program since the Library of Congress began gathering this data in 1997.

The increased ECIP backlog and the increased time it takes to process them is a direct result of the loss of key catalogers with expert subject knowledge who would normally process ECIPs, particularly in the sciences, law, political science, and children’s literature. Even the loss of one expert subject cataloger makes a big difference in the productivity of a section. It is also an indirect result of the 2008 ABA Reorganization. Prior to 2008 all cataloging staff throughout the Directorate was required to process ECIPs before any other work was performed. There were quite simply more staff involved with processing ECIPs prior to the reorganization than there are now. At this point, only a handful of catalogers within the acquiring divisions with special foreign language expertise catalog ECIPs. It is not surprising that with the loss of cataloging staff in USGEN and USPL and the inability to easily pull from the acquiring divisions to assist with ECIP processing (due to their own pressures to purchase foreign materials for the Library of Congress collections), that the Library is now seeing the negative impact of the 2008 Reorganization on the CIP Program as it relates to ECIP processing.

If the USGEN/USPL Reorganization is approved, CIP will benefit from having a CIP Program Manager to coordinate its work again and focus directly on this problem. CIP was the only program within ABA that was left without a specific section head or program coordinator to

manage its activities, which in hindsight, given the size and importance of the program, was an oversight on the part of the 2008 reorganization.

### Proposed Reorganization of the ABA U.S. General and U.S. and Publisher Liaison Divisions

On August 3<sup>rd</sup>, the USGEN/USPL Reorganization Committee, chaired by Chief Karl Debus-López and made up of staff representing all positions and the 2477 and 2910 unions within USGEN and USPL, submitted a proposal to Mr. Beacher Wiggins, the Director of the Acquisitions and Bibliographic Access Directorate, to reorganize USGEN and USPL into two divisions with missions that will ultimately provide greater support for the critical program and production areas that build the Library of Congress' core collection of U.S. national imprints. The U.S. national imprint collection represents the creative output of the American people. U.S. imprints also represent the most heavily requested materials from the Library's principal constituents, members of Congress. Providing a better structure and better defined missions to support this creative output will allow the Library of Congress to better meet its overall mission "to support the Congress in fulfilling its constitutional duties and to further the progress of knowledge and creativity for the benefit of the American people." (*Library of Congress Strategic Plan, Fiscal Years 2011-2016*, p. 1)

The organizational changes needed to actualize this proposed reorganization, are in summary: 1) creation of a new U.S. Arts, Sciences, and Humanities (USASH) Division to focus principally on subject expertise, production work, and serve as the principal ABA liaison to the Copyright Office and the new Collection Development Office; 2) creation of a new U.S. Programs, Law, and Literature Division (USPRLL) to focus principally on support of the Cataloging in Publication (CIP), Children's and Young Adults' Cataloging (CYAC), Dewey Decimal Classification (DDC), International Standard Serial Number (ISSN), and Electronic Preassigned Control Number (EPCN) programs and serve as the principal ABA liaison to the Library of Congress Law Library; 3) creation of a new GS1410-14 Supervisory Librarian Program Manager position to manage the program areas of CIP, CYAC, DDC, and ISSN; 4) merger of the Children's Literature and Literature sections into one overall Literature Section managed by a GS-14 Supervisory Librarian Program Manager; 5) creation of a CIP Section comprised of a GS-14 Supervisory Librarian Program Manager, three CIP Program Specialists, and two CIP teams managed by supervisory library technicians; 6) creation of an ISSN Section managed by one GS-14 Supervisory Librarian Program Manager; 7) redistribution of subject areas between the existing USPL Science, Technology, and Medicine Section and USGEN Art and Religion Section; and 8) redeployment of staff to assist in areas where there are critical shortages.

The reorganization of the two divisions most responsible for the selection and processing of U.S. published materials in all formats into two new divisions logically structured into one division (USASH) that focuses principally on subject expertise and production and a second division (USPRLL) that provides support for critical national and international programs, will allow ABA to provide better management of essential programs and realize efficiencies across the divisions. By recognizing the central role of the two new divisions in creating the Library of Congress' highest priority collection, the U.S. national imprint collection, the reorganization will restore purpose and pride to the staff in the two new divisions. As of the writing of this annual report,

the proposal had been reviewed and approved by Mr. Wiggins and was being reviewed by the Deputy Associate Librarian for Library Services, Ms. Sandra Lawson.

#### Move of ONIX/MARC pilot into production

The ONIX/MARC Converter Team, under the direction of Chief Karl Debus-López, expanded the ONIX pilot to include volunteers from all sections in USPL and USGEN that catalog ECIPs. With the expansion, sixteen catalogers are now working with ONIX data. In May, the Team prepared a report for review by the ABA Management Team that led to the decision to move the ONIX/MARC converter program from pilot to production at the point of the next Voyager upgrade in late 2011 or early 2012. Once the ONIX/MARC program is moved into production, all catalogers will be trained on its use. Development of the ONIX/MARC converter program was a direct outgrowth of the *Report of The Library of Congress Working Group on the Future of Bibliographic Control, On the Record*, specifically “Section 1.1, Eliminate Redundancies” that has several recommendations for using externally available bibliographic data and for further automating the CIP process. The primary advantages to the use of the converter is that very little keying and usually little data manipulation are required when working with ONIX records as compared with regular TCEC descriptive cataloging. Use of ONIX records continued to increase in FY11. In FY09 532 ECIPs were added through use of the ONIX to MARC converter program. In FY10 2,810 records were added through the program and in FY11 8,499 records were added – an increase of 202% from the previous year.

Use of ONIX has streamlined our operations in that the staffs in USPL and USGEN are able to use the ONIX information similar to how they use copy cataloging records available in OCLC. Most, if not all, of the information needed for the descriptive elements of the title is available within the ONIX record. The ONIX records often have additional data elements that provide more information and access points to Library of Congress users, such as tables of contents and summaries. Throughout the year, key ONIX/MARC Team staff gave presentations and promoted the work done by the Library of Congress in this area. Mr. David Williamson (ABA), who created the program, Ms. Camilla Williams (USPL), and Ms. Caroline Saccucci (USPL), are particularly noted for their ONIX/MARC work.

#### Increase of Copy Cataloging and Continued Significance of Original Cataloging in USGEN and USPL

Records created through use of the ONIX/MARC converter program are considered to be “copy” for the Library Services Performance Budget targets; however, they are not counted in the Date of Last Transaction database as copy catalog records. Even without including the ONIX records within the USPL and USGEN copy cataloging count, the two divisions saw a noticeable 14% increase in the number of records copy cataloged. This is the direct result of the copy cataloging training that was done in the first two years of the reorganization, allowing most cataloging technicians to become adept at performing this task.

Since USPL and USGEN are often at the beginning of the bibliographic record creation process principally due to the receipts from the Cataloging in Publication Program, they continue to be the two divisions that process the most original cataloging within the ABA Directorate. The two

divisions were responsible for the creation of 81,737 original cataloging records that were later disseminated and used by libraries throughout the world as “copy.” Despite the increased number of titles added to the Library of Congress database via use of copy catalog records, 78% of the cataloging completed within USPL and USGEN continued to be original. This represents 47% of the total original cataloging output of the ABA Directorate in FY11. As many U.S. research libraries move away from building print collections to servicing their users through electronic book packages and patron driven acquisitions, it is likely that USPL and USGEN will continue to have a key role in creating original cataloging records in the years to come.

### Priority 2 Selection SWAT

The USPL and USGEN divisions were fortunate in that the second Selection Librarian position was filled in March of 2011. Ms. Desiree Woodard, formerly of the Copyright Office, was chosen for the position. Although four staff had participated in a series of selection librarian details in 2010 and 2011, it was difficult for one expert fully-trained Selection Officer, Mr. Ralph Cole, to keep up with the workload of reviewing and selecting over 270,000 volumes for the Library of Congress collections. With a variety of staff and workflow relocations looming due to the proposed renovation of the Madison basement area, ABA managers authorized a one month long SWAT effort aimed at reducing the backlog of unselected incoming priority 2 material to 8,000 pieces or below. The backlog as of August 1st stood at 16,430 pieces shelved in LM-B47. A selection team of librarians throughout the ABA was assembled to remove as much of the backlog as possible before September 1st. One of the advantages of this SWAT effort was the quick start up time, aided in no small measure by the fact that all the participants either had major exposure to monographic selection while on selection details, or in the case of three Government Documents staff, actually perform selection on a daily basis as part of their normal work routine. The month long SWAT effort yielded a reduction of unselected incoming CIP mail priority 2's in LM B-47 from 16,430 on August 1, to 5,314 by August 31. This result was all the more noteworthy, in that the selection team had to not only select priority 2 monographs that were already shelved in LM-B47, but contend with the incoming flow of this material as well, which during the month of August amounted to 5,435 pieces, received and staged for selection by the Acquisitions and Fiscal Support contract staff. By the end of September, the Priority 2 backlog had increased slightly to 6,000 pieces, but, with two fully trained selection officers on board and the increased numbers of staff trained on selection in FY11, it is hoped that the backlog will not increase significantly in FY12.

### NLM classification/subject heading converter

The Science, Technology, and Medicine Section worked with staff in the Policy and Standards Division to evaluate its beta version of the NLM classification/subject heading converter. The tool aimed to assist users with identifying relevant LC classification numbers and subject headings for bibliographic records. Mr. William Barner tested the results and provided input for future use of the data. In FY11, Ms. Brenda Ologunja worked with Mr. Barner to see how this tool could be used effectively with catalogers with non-medical backgrounds. Ms. Ologunja, a librarian without this expertise, used the correlation tool in providing classification numbers and subject headings for NLM ECIPs. Mr. Barner reviewed her work and accepted the cataloging in most cases. He recommended changes to the records only if it was absolutely warranted. Since

the launching of the PSD tool, the STM librarians have found this product useful when assistance is needed in cataloging related works.

### Digital tables of contents

Instead of photocopying tables of contents and forwarding the photocopies to the Asian and Middle Eastern Division to be scanned and digitized, Law Section technicians are now scanning the TOCs directly from the books and saving them as pdfs to a folder from which Mr. David Williamson (ABA) imports them and links them to the bibliographic records. In addition to eliminating several steps, this procedure allows the Section to add TOCs for books in any language, including the Jackphy languages. Through the generosity of the Law Library, the Section received a second HP scanner, and the number of TOCs scanned increased dramatically.

## **Cataloging in Publication Programmatic Developments**

### **CIP Production**

CIP data was provided to publishers for 51,953 items in FY2011, a decrease of 7% from last year's 55,976. During this fiscal year the CIP program continued to enhance the records it creates by utilizing automation and the assistance of publishers. The Publisher Provided Summaries program, which enables publishers to voluntarily provide concise, objective summaries to the CIP records for their books, generated 8,303 summaries, a 44% increase over last year's 5,783. A wide range of publishers provided summaries, including children's publishers, university presses, religious publishers, and popular presses. This year, the program was expanded to include juvenile fiction publishers. To date, at the close of FY11, a total of 32,504 summaries have been provided by publishers. The ECIP Table of Contents feature that enables catalogers to readily add a Table of Contents note to a 505 field with a few clicks of the mouse also continued successfully this year. A total of 17,714 records were enhanced in this manner, a 16% decrease over last year's 21,088.

Throughput time for CIP data production is measured from the date the record is initiated in Voyager until the date the record is completed in Voyager. Given these parameters, the average number of calendar days for completing ECIPs was 20.2, about three times slower than last year's throughput time of 6.6. Just over 48% of all ECIPs were processed within 14 calendar days. In FY10, 88% of all ECIPs were processed within 14 calendar days.

The ECIP program continued to expand and is the principal means by which publishers obtain CIP data. New ECIP publisher accounts totaled 118 this fiscal year, bringing the grand total to 5126. During the forty years since the CIP program was established, CIP data has been prepared for a cumulative total of 1,576,701 titles.

### **ECIP Cataloging Partnership Program**

The new subject-based focus of the ECIP Cataloging in Publication Partnership Program proved to be of great interest to many ECIP partners. The Queens Public Library, a new member

this year, became independent in ECIP cataloging of selected children's literature titles. Northwestern University took on the responsibility for cataloging all African studies ECIPs. Cornell University added the cataloging of ECIP titles that focus on Southeast Asian studies. Brigham Young University added a new Mormon publisher and the Mormon publications of general publishers through the addition of a new subject term for Mormonism in the ECIP Traffic Manager. This ensures that it receives all titles related to Mormons and Mormonism. As a Mormon institution, BYU is in a unique position to share its expertise with the Library of Congress. The University of Chicago began cataloging ECIP titles in a variety of subject areas: classics, linguistics, music (selected publishers), and the following area studies: Pakistan, Mongolia, and Russia. The University of Wisconsin Madison began cataloging titles published by the American Society of Microbiology and Stanford University began cataloging the publications of the Hoover Institute.

The Partnership Program also added new partners this year. As mentioned above, Queens Public Library joined the Partnership Program this year, effective November 15, 2010. CIP Program Specialist Caroline Saccucci worked with Queens and with two art libraries who expressed interest in the program, the Frick Art Reference Library and the Getty Research Library. Frick became a member effective November 17, 2010. These partnerships represent several "firsts" for the program. Queens Library is the first public library to become an ECIP cataloging partner and also the first to focus solely on cataloging juvenile fiction. Frick is the first art library to join the program and catalogs titles published by the Frick Collection. At the end of the fiscal year, the Getty was testing ECIP cataloging and was nearly ready to move into production. Getty will catalog the publications of its Research Institute.

Another new partner, the University of Florida, was in test at the end of the fiscal year and expected to move to production early in FY12. Florida had expressed interest in the Partnership Program about three years ago, before a method for creating ECIP records in OCLC Connexion had been developed for non-Voyager libraries. They are now eager to begin contributing ECIP records for the publications of their university press and may consider adding a specific subject area in the future.

The Partnership Program has a strong interest in recruiting libraries with science or technology expertise, as these are high-volume subject areas for ECIP applications. To this end, Acting Program Specialist Michael Womack met with Ms. Cynthia Whitacre of OCLC at the CIP Advisory Group meeting in June. Ms. Whitacre (as ALCTS Past-President) later assisted Mr. Womack's effort by distributing a letter Mr. Womack had written to ALCTS members. Two libraries expressed interest in the program in response to the letter. Mr. Womack will follow up with them early in FY12.

The ECIP cataloging partners collectively cataloged 4,617 titles in FY11. This is an increase of 252 titles over FY10 production of 4,365 titles.

### **E-book Pilot**

The CIP Program began development of an initiative to create ECIP records for e-books, based on original CIP records for print books in FY10. The CIP Group, chaired by Ms. Diane Barber,



continued this development throughout FY2011, using their monthly meetings to address issues such as the application process, change requests for e-books, and details of the Provider-Neutral E-Monograph MARC Record Guide for record creation, to produce a record incorporating the original publisher's bibliographic information. This guide, prepared under the auspices of the Program for Cooperative Cataloging, was approved for use by the Policy and Standards Office and the Directorate's Digital Projects Coordinator, Ms. Allene Hayes. In addition, the development of this initiative was based on simultaneous publishing of print and electronic versions of the same title, currently a common practice in the U.S. publishing industry.

While the Group was meeting to discuss and make decisions about the initiative's development, those involved in the technical aspects of development were working to create the various parts needed for the initiative to work. CIP Program Specialist Camilla Williams and ITS Programmers Shirley Chu and Ann Dea developed the application form, made changes to the ECIP Traffic Manager, and developed a mechanism for capturing the assigned LCCNs in the ECIP Traffic Manager and sending them to the program that Mr. David Williamson (ABA Automation Specialist) developed to create a new e-book record based on the original record for the print book.

The CIP Group initially decided to start the pilot with three publishers: one trade publisher; one technical publisher; and one university press; a textbook publisher was later added. The publishers invited to participate were ABC-CLIO, O'Reilly Media, University Press of Mississippi, and Wiley-Blackwell. The last three publishers accepted the invitation; ABC-CLIO declined, for technical reasons related to their CIP data application process. The participating publishers will be required to apply for CIP data for their print book version first, so that the print record is created first, by cataloging staff. Once they have submitted a print application, they can apply for CIP data for the e-book. Participating publishers are also expected to follow standard CIP Program requirements, such as including the CIP data in the publication and sending a complimentary copy of the published item, in this case the e-book, to the Library. The Library will require publishers to send what is determined to be the "best edition;" this edition will also be required to have no restrictions on use, i.e., no digital rights management attached to the e-book. During the course of this year, CIP managers Karl Debus-López and Diane Barber attended several meetings with Library Services and OSI staff to describe the CIP e-books initiative and obtain information about adding e-books to the LC collections, setting requirements for publishers, and communicating the means by which publishers will be asked to transfer e-books to the Library.

In late September, the entire process was tested and found to be ready for production. The e-books pilot will begin early in the next fiscal year.

### **CIP/PCN Web Sites**

Acing CIP Program Manager Diane Barber and CIP Program Specialists worked with Ms. Julie Mangin, Network Development and MARC Standards Office, to update the CIP and PCN web sites and bring them into alignment with Library of Congress standard web design. The complexity of the CIP legacy site also required the participation of ITS Programmers Shirley Chu and Ann Dea. The group held bi-monthly meetings to discuss technical issues, while Ms.

Barber and the Specialists worked separately to update the content of the pages. Two new pages were added to the CIP site, one for the ECIP Cataloging Partnership Program and one for the CIP Advisory Group. At the end of the fiscal year, the web sites were very close to completion and are expected to be made public early in the next year.

### **New Vocabularies**

The project to add AMS caption terms (converted from AMS classification numbers) continued throughout FY11, following one of the recommendations from *On the Record: Report of The Library of Congress Working Group on the Future of Bibliographic Control*. The AMS terms were included in the record in addition to LCSH terms, appearing in MARC 21 field 650 with the second indicator value “7” and the subfield 2 code “msc,” the source code for the Mathematics Subject Classification. Two USPL/STM staff members, Ms. Anri Kuwatsuki and Mr. Ken Peyton, reviewed the terms when they performed the subject analysis needed to add the LCSH terms. They prepared a report, which will be reviewed by the USPL CIP Group early in the next fiscal year.

ABA Automation Specialist David Williamson also added BISAC (Book Industry Standards and Communications) Subject Headings to ECIP bibliographic records this year, at the request of ECIP publishers. These headings are extracted automatically from the ONIX data created and supplied by the publishers. The CIP Group will explore adding other specialized vocabularies as the opportunity arises.

### **Medical ECIPs Trial**

The Library of Congress began a six month trial on July 1, 2011 to stop assigning Library of Congress Classification (LCC) and Library of Congress Subject Headings (LCSH) to clinical medicine titles processed through the ECIP program. During the review period, the National Library of Medicine will continue to provide subject headings from the MeSH vocabulary and NLM classification numbers for these titles. Upon completion of this task, the ECIPs will be forwarded directly to the Dewey Section for final processing. At the post-publication stage, any title selected for the LC permanent collection will be referred to the Science, Technology, and Medicine Section for full LC cataloging. The trial will conclude on December 31, 2011 and an evaluation of the project will take place.

## **Children’s and Young Adults’ Cataloging Programmatic Developments**

### **Children’s Literature Production and Work on Hand**

The Children’s Literature Section substantially increased its production from prior years in FY2011. The section completed 7,536 books for the period October 2010 to September 2011, which was a 37% increase from FY2010 of 5,490 completions. The increase of production was possible through the use of copy cataloging and minimal level cataloging projects that were implemented on overtime and as part of “Production Only” activities during March and September 2011. The copy cataloging training of the technicians assigned to the section and the participation of several U.S. Anglo staff members in the overtime project were also instrumental

in the production increases.

The Copy Cataloging and MLC Projects positively impacted the section backlogs. The Children's Literature Section began the fiscal year with a backlog of 5,461 titles and ended with a backlog of 3,225 titles. The decrease of the backlog by 2,236 titles was a 41% reduction of the children's backlog. The section cleared many older titles and increased the available shelving space in the section, thereby allowing for better organization and identification of our workload.

#### Juvenile Materials: Children's Subject Headings (Classification and Subject Headings Manual, H1685)

Based on Children's Literature Section documentation, Ms. Janis Young (PSD) wrote a new instruction sheet for the *Classification and Subject Headings Manual*, entitled "Juvenile Materials: Children's Subject Headings." The instruction sheet provided guidance on the assignment of Children's Subject Headings to juvenile items as followed by the CYAC Program. The section gave feedback on the draft document to Ms. Young and a final version will eventually be included in the next update to the *Classification and Subject Headings Manual* issued by PSD.

#### CYAC Web Page Development

The Children's Literature Section worked collaboratively with staff members Ms. Julie Mangin (Network Development and MARC Standards Office), Mr. Loche McLean (PSD), and Ms. Janis Young (PSD) to implement a public web page for the CYAC Program. A draft CYAC web page existed on the LC intranet, which was augmented, reviewed, and updated by Ms. Angela Murphy-Walters, Ms. Ruth Polan, and Ms. Ann Sullivan, with editing support from Hispanic Association of Colleges and Universities Intern Ms. Daniella Ramos. The page will be mounted as a subpage on the publicly accessible ABA web site in late 2011. The purpose of the CYAC web page is to provide information about the program and serve as an index or collocation point for all policies and procedures related to the cataloging of children's and young adult material. It will link to documents that provide the procedures followed by CYAC for cataloging. PSD will make available on the page some of their documents in a "pdf" format to make it easier for the CYAC constituency to access LC standard cataloging documentation.

## **ISSN Programmatic Developments**

### **ISSN Production**

Despite the retirement of a very productive cataloger in the U.S. General Division who helped with ISSN PL assignment requests, the total number of ISSN assigned in FY 2011 was quite comparable to last year's number: 6323 in FY 2011 vs. 6412 in FY 2010, a decrease of only about 1%. In FY 2011, for the first time since these numbers were tracked, the percentage of ISSN assigned to online resources (37 %) vs. print resources (63%) decreased. Until around 2008 there was a steady increase in the proportion of ISSN assigned to online resources, followed by stabilization at around 45-46% between 2008-2010. One reason for this change in the relative numbers might be that during FY 2011 there were two projects to assign ISSN to

digital reproductions, but, because current ISSN assignment policy uses the same ISSN for the print and its reproduction, the ISSN was assigned to the print title. It will take another year or two to assess whether there is any developing downward trend in online serials publishing.

## **Publishing Trends**

### Open Access

ISSN requests for forthcoming journals, especially new open access journals in science, technology and medicine, are being received in large batches—up to 100 or more at a time. These requests seem to be part of a trend towards possibly dubious new open access publishers located in various parts of the world enticing scientists into paying large fees to be published. One publisher requesting over 80 ISSN listed its location on the ISSN application forms as Los Angeles but was characterized in an online blog as “a vanity press being operated out of India.” Sorting the legitimate U.S. publishers from publishers out of scope for U.S. assignments and possibly engaged in publishing scams is a new challenge for the U.S. ISSN Center.

### Globalization

Multinational and international publishing by new as well as long-established publishers has resulted in increased need to correspond with other ISSN centers to determine the responsible ISSN center. Consolidation of major publishers and an increase in transfer of serials from one publisher to another has resulted in more frequent communications about transfers of responsibility from one ISSN center to another.

### Electronic publications

These resources continue to evolve in ways that present ISSN assignment questions, such as the recent upsurge in versions of both popular magazines and e-journals for mobile devices such as Smartphones and e-readers, and the various platforms and aggregations that e-journals move into and out of.

## **ISSN for Archiving Projects**

The potential future need for large numbers of ISSN assignments to long-ceased serials being digitized by HathiTrust and other projects has been brought to the attention of the U.S. ISSN Center. A collaboration between the ISSN International Centre (IC) and the PEPRS Project (now called thekeepers.org) will likely result in requests for ISSN to be assigned to at least those HathiTrust serials in the public domain. In addition to mass digitization projects, collaborations for long-term storage of print serials will require ISSN to be assigned to older print serials that libraries are sending to off-site storage.

## **Digital Reproductions**

A decision to assign the same ISSN to all online digital versions of a continuing resource, including digital reproductions, is awaiting dissemination to the ISSN Network. U.S. ISSN Center Director, Ms. Regina Reynolds, was a member of the international working group that conducted a survey of stakeholders, analyzed the results, and proposed the new policy. Ms.

Reynolds explained the proposal to a number of U.S. individuals and groups including the director of the LOCKSS project, the PIE-J working group, CONSER representatives, and the Library of Congress MARC office.

### **Core e-Journals Project**

To ensure ISSN coverage of high research interest serials, the ISSN IC periodically conducts projects. The U.S. ISSN Center received a list of 2,822 titles of which ca. 700 titles were completed by Sept. 15, 2011. Ca. 300 new ISSN were assigned and records for ca. 100 prepublication ISSN were updated and made available to the ISSN Register. Staff determined that many titles, especially those in the EBSCO and FirstSearch databases, were not e-serials in their own right and did not assign ISSN. Under the ISSN policy currently in place, no separate ISSN were assigned to reproductions only available from JSTOR, HathiTrust and Google Books. The question of whether e-serials made available in collections like EBSCO and FirstSearch should be eligible for ISSN assignment was proposed as a topic for the ISSN directors meeting.

### **ISSN and Historic U.S. Serials**

ISSN are being assigned to the print titles in ProQuest's *American Periodicals Series*. To date, 704 ISSN have been assigned by Mr. Kevin Gardner and Ms. Lakeia Roseboro. At the request of the Serial and Government Publications Division, ISSN were assigned to print versions of 162 historic American newspapers digitized in the Library of Congress's "Chronicling America" project by Ms. Roseboro, Ms. Nikki Kendall, and Ms. Linda Malone. When the new policy for assigning a separate ISSN to online digital reproductions is implemented, the online versions of the titles in both of these collections will be eligible for separate ISSN assignments.

### **Law Section Developments**

#### **Law Section Production and Work on Hand**

The Law Section's completions were significantly lower than in the previous fiscal year. Fortunately, receipts were also lower, and the Section was able to process nearly all items within two months of their arrival; however, the "work on hand" was 30% higher than at the end of FY2010, and the number of titles reclassified dropped by 27%, as resources had to be shifted to the cataloging of high priority current receipts.

The Section processed books in 83 languages. Noteworthy were the number of titles added to the classified collection in the following languages: English (11,592), Italian (5,591), Spanish (3,631), German (3,604), Japanese (2,378), and Chinese (1,771). For certain languages, the descriptive cataloging was provided by the Overseas Offices or other sections within the ABA Directorate. Without such descriptive cataloging assistance, the Law Section could not meet the Law Library's need for timely and accurate cataloging records for the legal publications in these languages. As senior staff retire and are not replaced, the Section will have to rely increasingly on such assistance.

## **Collaborative Project with the University of Florida**

The bibliographic records for 23,870 congressional hearings that have been reclassified into the KF schedule were made available to the University of Florida via FTP. The University plans to use these records to place under bibliographic control its own collection of hearings. In the process, it intends to enhance the records with SUDOC numbers and possibly other data, and then share these enhancements with L.C.

## **Genre-form headings**

In June, staff started to assign genre-form terms to legal materials. To lessen the impact of this added responsibility, it was agreed that initially only a subset of 19 terms will be applied to English language receipts.

## **New Law Classification Schedules**

Several new classification schedules were released recently, and the Section has started to apply them. These include KBS (Canon law of Eastern Churches), KBT (Canon law of Eastern rite churches in communion with Rome), and KIA-KIX (Law of Indigenous Peoples in the Americas.)

## **KZ Reclass**

At the request of the Policy Support Division, the Law Section reclassified about 800 international law titles from the K schedule to the new portions of the KZ schedule. The Section was assisted in this effort by law classification specialist Ms. Jolande Goldberg (PSD) and by Mr. George Prager, who was on sabbatical from the New York University Law Library.

## **Reclass of LAW 7 titles**

Law Section catalogers continued to reclass legal treatises originally classed in LAW. Since the project began, 58,627 titles have been reclassified. Catalogers are currently focusing on Italy, Japan, and Russia. Also, nearly 1,000 additional pre-1970 congressional hearings were discovered in the General Collections. These were somehow missed when the hearings reclass project was underway, but they have now been reclassified into KF and reassigned to the Law Library.

## **FY11 USPL Division Results**

The USPL Division continues to provide outstanding service to the Library and the nation. Along with its sister Division, USGEN, which it was operationally aligned with throughout FY11, the staff within USPL was responsible for more than 40% of the total cataloging output and close to 50% of the original cataloging of ABA despite serious staffing shortages in critical areas. The USPL Division was responsible for the most cataloging completions and the most original cataloging within the ABA Directorate. Three of its sections ranked in the top ten for

cataloging completions within ABA, with the Law Section ranking first, Science Technology, and Medicine second, and Social Sciences sixth. Staff processed materials received from Copyright and CIP so that they could be more readily available to researchers and the public; thereby, saving school, public, and university libraries the expense of duplicating this effort. Staff within USPL has been instrumental in moving forward on numerous initiatives that have either improved efficiency within ABA or will assist the Library in building new models for management of our work. This includes assisting with the ONIX/MARC conversion project; testing new ways of adding specialized vocabularies and assignment of classification through correlation tools; developing more effective ways to add tables of contents information to bibliographic records; effectively using minimal level cataloging and increased use of copy cataloging to reduce backlogs; and, implementation of new genre form headings.

Despite staff reductions, the three program areas within the USPL Division continued to advance their operations into new territory in FY11. Within the Children's Literature Section there have been continued enhancements to the Children's and Young Adults' Subject Headings and creation of a new web page that will greatly assist colleagues in school and public libraries. The Cataloging in Publication Program continues to grow and expand into new areas that will, ultimately, assist the nation by providing high quality metadata for electronic books. The CIP Program has also redefined its priorities by establishing a new subject-based approach to the ECIP Cataloging Partnership Program, which will allow the Library of Congress and its partners to leverage their subject expertise to provide the best pre-publication metadata for the nation's publishers, and, ultimately, the international library community as well. The key role played by the ISSN in establishing our new linked data environment is evidenced by the work of the U.S. ISSN Center over the last year. Highlights of the year include an ongoing upsurge in large batches of ISSN requests for new open access journals in science, technology and medicine; a forthcoming policy decision by the ISSN Network to assign the same ISSN to all online digital versions of a continuing resource, including digital reproductions and versions for mobile devices; the availability of U.S. prepublication assignments in the international ISSN Register for the first time; and exploration of ISSN assignments to HathiTrust serials and other archives of electronic journals and consortial print archives.

As the Library enters FY12, there are warning signs on the horizon. The paradox of USGEN and USPL being two of the most productive divisions within the Directorate with large backlogs continued in FY11 and is likely to continue in FY12. It is possible that the USGEN and USPL divisions will lose up to 24 staff through the VERA/VSIP program. This represents 13% of the staff within the two divisions. A loss of 13% of staff will have a devastating impact on the timely processing of materials for the Library's highest-priority U.S. national imprint collections. In some subject areas, the divisions may lose all of their subject expertise. The unacceptable backlog of ECIPs and increased length of time it takes to process ECIPs will continue to grow. If the Library is unable to hire staff to replace retirees, it may be necessary to move staff from other areas within ABA to fill these voids – resulting in possible backlogs in other areas of the Directorate. As we enter an election year where most of the concerns of the nation are on domestic issues, it will be very important to support the work of the two divisions within ABA most responsible for cataloging and processing newly published U.S. works in all areas, but, particularly in economics, political science, technology, and the social sciences. The planned reorganization of USGEN and USPL should allow the staff within the two divisions to employ

more production efficiencies which would alleviate some of the pressures of losing so many staff in such a short period of time, while still allowing programmatic staff to continue to build the national and international program areas managed within USGEN and USPL.

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## U.S. AND PUBLISHER LIAISON DIVISION FY11 STAFF REPORT

### Significant External Appointments

Mr. Fred Augustyn, ALA, Editor, *Cognotes*  
Ms. Vera Clyburn, Chair, Potomac Technical Processing Librarians  
Mr. Karl Debus-López, President, ALA, Federal and Armed Forces Libraries Roundtable  
Mr. Karl Debus-López, Vice-Chair, ISSN Governing Board; ISSN Strategic Planning Committee  
Mr. Karl Debus-López, Chair, Cataloging in Publication Advisory Group  
Mr. Karl Debus-López, Acquisitions Section Representative, ALA, ALCTS Publications Committee  
Ms. Linda Geisler, Representative, ALA, ALCTS Committee for the Cataloging of Children's Materials  
Mr. Aaron Kuperman, Member, Executive Board, American Association of Law Librarians  
Mr. Aaron Kuperman, Member, American Association of Law Librarians, Technical Services Special Interest Section, including its Committee on Cataloging and Classification and its Advisory Committee on Subject Cataloging.  
Mr. Aaron Kuperman, Chair, American Association of Law Librarians, Committee on Professional Development.  
Ms. Regina Reynolds, Representative, ALA, ALCTS Liaison to the Continuing Resources Cataloging Committee  
Ms. Regina Reynolds, Member, Editorial Board of *Serials Review*  
Ms. Regina Reynolds, Member, U.S. RDA Test Coordinating Committee  
Ms. Regina Reynolds, Member, NISO PIE-J working group  
Ms. Regina Reynolds, Director, U.S. ISSN Center — a center of the ISSN Network.

### New staff

Ms. Desiree Woodard, from Copyright Office, Selection Librarian, March 2011

### Temporary Appointments

Ms. Bryonna Head, Clerk, February through September, 2011  
Ms. Anisah Muhammad, Clerk, March through September, 2011

### Retirements

Mr. William Barner, USPL Science Technology, and Medicine Section, December 2010  
Ms. Jacquelyn Dozier, USPL ISSN Publisher Liaison Section, January 2011  
Mr. John Roberts, USPL Law Section, November 2010  
Ms. Divna Todorovich, USPL Children's Literature Section, December 2010

### Resignations

Mr. Daniel (Stuart) Phelan, USPL CIP Publisher Liaison Team, June 2011

#### Transfers out of the Division

Ms. Linda Geisler, USPL ISSN PL Section Head to the USGEN Literature Section Head position, March 2011. Ms. Geisler continues as Acting Section Head of the USPL Children's Literature Section.

#### Transfers into the Division

Ms. Sameha Kotb, ASME, Middle East Section to the USPL, Science, Technology, and Medicine Section, January 2011

Ms. Caroline Saccucci, USGEN Geography, Political Science, and Education Section to USPL CIP Program, March 2011

Mr. Arrington Ward, Acquisitions and Fiscal Support Office to USPL CIP Support Team

**USPL FY10/FY11 STATISTICAL COMPARISON**  
(USGEN and USPL are combined where appropriate)

<b>PRODUCTION CATEGORY</b>	<b>FY10</b>	<b>FY11</b>	<b>PERCENTAGE CHANGE</b>
Cataloging Completions	111,712	105,158	-6%
Original Cataloging	91,117	81,737	-10%
Copy Cataloging	20,595	23,421	+14%
CIP Verification	56,554	53,885	-5%
New Serial Titles Selected	2,218	1,828	-17%
ISSN Assignment	6,412	6,323	-1%
Total Mono. Receipts: Copyright	175,150	174,650	-1%
Total Mono. Receipts: CIP	113,877	101,942	-10%
Value of CIP Books Received *(\$80.61/book)	\$9,500,758	\$8,217,544	-14%
ECIPS and CIPs processed	55,976	51,953	-7%
ECIP Participating Publishers	5,008	5,126	+2%
EPCN Participating Publishers	47,945	52,703	+10%
Addition of records through use of ONIX/MARC converter	2,810	8,499	+202%
Publisher Provided Summaries Added	5,783	8,303	+43%
Publisher Provided TOC's Added	21,088	17,714	-16%
ECIP Cataloging Partner Production	4,365	4,617	+6%
Law Reclassification Project	16,781	12,274	-27%
<b>WORK ON HAND – END OF SEPTEMBER</b>			
Print books in USGEN/USPL Sections	37,168	40,512	+9%
ECIPs in USGEN/USPL Sections	1,827	2,195	+20%
Monographic Decisions Pending	13,631	6,000	-56%
CIP Priority 1 Books Unprocessed in CIPS	21,333	4,918	-77%
Non-CIP Books Unprocessed in CIPS	8,633	18,460	+114%
Total Books and ECIPS on Hand	82,592	72,085	-13%
Ratio of Cataloging/Work on Hand	1.35	1.46	+8%